

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview

1. **Date of Submission:** 2011-02-25

2. **Agency:** 024

3. **Bureau:** 10

4. **Name of this Investment:** A&O - Common Operational Picture (COP)

5. **Unique Project (Investment) Identifier (UPI):** 024-10-01-08-01-9104-00

6. **What kind of investment will this be in FY 2012?:** Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. **What was the first budget year this investment was submitted to OMB?** FY2005

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

The Common Operational Picture (COP) is the core DHS situational awareness (SA) capability for effective decision-making, rapid staff actions, and appropriate mission execution. The COP is an application that supports the DHS mission of responding to threats and hazards to the nation by collecting, sharing and displaying multi-dimensional information that facilitates collaborative planning and responses to these threats. The COP was established to address the enormous responsibilities and challenges facing the National Operations Center (NOC) - the single national entity to unify situational awareness and response, recovery, and mitigation functions. It addresses the challenges in the expanding information environment by harnessing the information flood to rapidly find and apply the relevant contextual relationships needed to interpret implications. This situational awareness capability, utilized by NOC, supports decision-makers such as the White House, DHS Secretary and Deputy Secretary, DHS operations leadership as well as other key staff at the Federal, State, tribal, and local levels. COP stakeholders benefit by receiving consistent, timely and accurate reporting of critical information for events of national/international significance. In FY09, OPS leadership prioritized three main areas for COP technology enhancement: 1) improving NOC Senior Watch Officer (SWO) data infusion, 2) auto-ingestion of data from multiple sources, and 3) creation of a consolidated, centralized data repository. This technology enhancement for the COP investment is a three-year project, scheduled for completion in FY12, for automating and facilitating the receipt and ingest of electronic correspondence from multiple sources such as private entities and federal and state agencies. The benefits of these enhancements are real time situational awareness, alerts, advanced analytics, data visualization and collaboration with the DHS Geo-spatial Information Infrastructure.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
IT Program Assessment	http://www.dhs.gov/xlibrary/assets/mgmt/itpa-ao-cop2010.pdf

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**
2005-05-25
- b. **Provide the date of the most recent or planned approved project charter.** 2010-04-01

10. **Contact information?**

- a. **Program/Project Manager Name:** *
Phone Number: *
Email: *
- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Mr. Richard Spires
Phone Number: *
Email: *

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA): Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 4

3. Insert the number of years covered in the column “BY+4 and beyond”: *

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded	7001	HSHQDC06J00418	HSHQPA-06-A-0019		*	*			N	2006-09-29	2011-02-11	Y	HSIN PROGRAM MANAGEMENT
Awarded	7001	HSHQDC08J00134	HSHQDC-06-D-0024	HSHQDC-08-R-00037	*	*		Cost Plus Fixed Fee	Y	2008-05-23	2011-05-26	Y	Engineering Support to HSIN Next Generation
Awarded	7001	HSHQDC09J00158	HSHQPA-05-D-0007		*	*		Firm Fixed Price	X	2009-05-28	2010-05-30	N	Oracle SW Maintenance
Awarded	7001	HSHQDC09J00118	HSHQDC-06-D-0058	HSHQDC-09-Q-00016	*	*		Labor Hours	N	2009-07-09	2011-07-08	Y	Independent Verification and Validation Technical services
Awarded	7001	HSHQDC-09-J-00495	HSHQDC-06-D-0061	HSHQDC-09-Q-00465	*	*		Labor Hours	N	2009-09-30	2012-09-29	Y	NOC COP and Information Technology Enhancements

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3.

a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow *

b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 *

c. Was the Acquisition Plan approved in accordance with agency requirements *

d. If "yes," enter the date of approval? *

e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? *

f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? *

g. If an Acquisition Plan has not been developed, provide a brief explanation.

*

Part II: IT Capital Investments

Section A: General

1.
 - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
 - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.

2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. the dhs data center that hosts cop does not offer options for cloud computing; however, the cop pmo will continue to work with the managers of the dhs data center to evaluate options for the future use of cloud computing to ensure compliance.

3. Provide the date of the most recent or planned Quality Assurance Plan 2010-04-30

4.
 - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment.
 - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s). 024-10-01-02-01-9106-00,024-10-01-08-01-9102-00

5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2008-05-20

6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2010-06-08

Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY05 - Develop and acquire the technology, H/W, S/W, testing and evaluation for improvement of COP capabilities.	DME	*	\$2.7	\$2.7	2004-10-01	2004-10-01	2005-09-30	2005-09-30	100.00%	100.00%
FY06 - Develop and acquire the technology, H/W, S/W, testing and evaluation for improvement of COP capabilities.	DME	*	\$6.8	\$6.8	2005-10-01	2005-10-01	2006-09-30	2006-09-30	100.00%	100.00%
FY07 - Develop and acquire the technology, H/W, S/W, testing and evaluation for improvement of COP capabilities.	DME	*	\$6.3	\$6.2	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%
FY07 - Complete program management tasks, outreach and communications tasks, including performance management, information assurance and training.	DME	*	\$1.2	\$0.6	2007-02-06	2007-02-06	2007-09-30	2007-09-30	100.00%	100.00%
FY07 - Operations & Maintenance	SS	*	\$5.0	\$5.0	2004-10-01	2004-10-01	2007-09-30	2007-09-30	100.00%	100.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY08 - Develop and acquire the technology, H/W, S/W, testing and evaluation for improvement of COP capabilities.	DME	*	\$0.1	\$0.1	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
FY08 - Complete program management tasks, outreach and communications tasks, including performance management, information assurance and training.	DME	*	\$2.9	\$3.0	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
FY08 - Operations & Maintenance	SS	*	\$6.0	\$5.5	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
FY09 - Develop and acquire the technology, H/W, S/W, testing and evaluation for COP Technology Refresh.	DME	*	\$6.3	\$0.1	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
FY09 - Operations & Maintenance	SS	*	\$1.7	\$1.7	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
FY10 - Develop and acquire the technology, H/W, S/W, testing and evaluation for COP Technology Refresh.	DME	*	\$5.6	\$2.9	2009-10-01	2009-10-01	2010-09-30	2010-09-30	99.00%	99.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY10 - Operations & Maintenance	SS	*	\$1.5	\$1.4	2009-10-01	2009-10-01	2010-09-30	2010-09-30	99.00%	99.00%
FY11 - C&A	DME	*	\$0.3	\$0.0	2010-10-01	2010-10-01	2011-09-30		22.00%	22.00%
FY11 - Operations & Maintenance	SS	*	\$3.8	\$0.3	2010-10-01	2010-10-01	2011-09-30		41.67%	41.67%
FY12 - Complete COP NextGen upgrades	DME	*	*	*	2011-10-01	*	2012-09-30	*	*	*
FY12 - Operations & Maintenance	SS	*	*	*	2011-10-01	*	2012-09-30	*	*	*
FY13 - Minor System Enhancements	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
FY13 - Operations & Maintenance	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
FY14 - Requirements for COP tech refresh	DME	*	*	*	2013-10-01	*	2014-09-30	*	*	*
FY14 - Operations & Maintenance	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*
FY15 - Implement COP tech refresh	DME	*	*	*	2014-10-01	*	2015-09-30	*	*	*
FY15 - Operations & Maintenance	SS	*	*	*	2014-10-01	*	2015-09-30	*	*	*
FY16 - Minor Enhancements	DME	*	*	*	2015-10-01	*	2016-09-30	*	*	*
FY16 - Operations & Maintenance	SS	*	*	*	2015-10-01	*	2016-09-30	*	*	*

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY17 - Develop requirements for COP technology refresh	DME	*	*	*	2016-10-01	*	2017-09-30	*	*	*
FY17 - Operations & Maintenance	SS	*	*	*	2016-10-01	*	2017-09-30	*	*	*
FY18 - Implement COP technology refresh and system capability upgrade	DME	*	*	*	2017-10-01	*	2018-09-30	*	*	*
FY18 - Operations & Maintenance	SS	*	*	*	2017-10-01	*	2018-09-30	*	*	*
FY19 - Perform Minor Enhancements	DME	*	*	*	2018-10-01	*	2019-09-30	*	*	*
FY19 - Operations & Maintenance	SS	*	*	*	2018-10-01	*	2019-09-30	*	*	*
FY20 - Retire COP system	SS	*	*	*	2019-10-01	*	2020-09-30	*	*	*
FY20 - Operations & Maintenance	SS	*	*	*	2019-10-01	*	2020-09-30	*	*	*
FY11 - Standup new COP Platform in HDS DC2	DME	*	\$1.9	\$0.1	2010-10-01	2010-10-01	2011-01-07		16.00%	16.00%
FY11 - Standup Hosted T&E Lab	DME	*	\$0.4		2011-02-01		2011-09-30		0.00%	0.00%
FY11 - Migrate users to new platform/retire old platform	DME	*	\$1.0		2010-12-01		2011-06-01		0.00%	0.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY11 - Continue COP NextGen development	DME	*	\$1.9		2011-01-07		2011-09-30		0.00%	0.00%

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion. Contract for the COP upgrade was originally anticipated for Q1 FY09; however, the contract was awarded in late Q4 FY09. Additionally, due to the DHS EOD process, there was some delay with the start of personnel billing to the contract. While the project is currently underburning, the COP PMO has worked with the vendor to ensure the project will meet the target costs. The EAC has been updated and taken into account when updating the LCCE and the Cost and Schedule table for the out years.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

2010-06-10

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Processes and Activities	Security	Decrease POA&M Closure rate	annual	Time	Decrease	Baseline	2010-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Baseline			2010-09-15
			2012	100 days			2010-09-15
			2013	90 day			2010-09-15
			2014	80 days			2010-09-15
			2015	70 days			2010-09-15
			2016	60 days			2010-09-15
			2017	60 days			2010-09-15
			2018	60 days			2010-09-15
			2019	60 days			2010-09-15
			2020	60 days			2010-09-15
Technology	Reliability	Decrease the number of	annual	Hours	Decrease	Service Level	2007-10-01

		hours when COP is not operational due to unplanned downtime by five hours per year.				Agreement (SLA) in negotiations to capture data starting in FY07	
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2007	Baseline	78.37 hours		2010-09-15
			2008	50 hours or less	5.32 hours		2010-09-15
			2009	45 hours or less	70.53 hours		2010-09-15
			2010	40 hours or less			2010-09-15
			2011	35 hours or less			2010-09-15
			2012	30 hours or less			2010-09-15
			2013	25 hours or less			2010-09-15
			2014	20 hours or less			2010-09-15
			2015	15 hours or less			2010-09-15
			2016	10 hours or less			2010-09-15
			2017	9 hours or less			2010-09-15
			2018	8 hours or less			2010-09-15
			2019	7 hours or less			2010-09-15

Processes and Activities	Cycle Time	Decrease the speed to produce and share Situational Awareness, Alerts, and Warnings by 10% each year.	2020	6 hours or less			2010-09-15
			annual	Time	Decrease	120 minutes	2007-10-01
			Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Last Updated
			2007	60 minutes	120 minutes		2010-09-15
			2008	180 minutes	152 minutes		2010-09-15
			2009	162 minutes	64 minutes		2010-09-15
			2010	146 minutes	26 minutes as of Q1		2010-09-15
Customer Results	Customer Satisfaction	Increase HSIN MOC and HSIN Advisory Council (AC) member satisfaction by 0.1 per year based on feedback surveys taken at the conclusion of the meeting. The scale is from 1-5, 5 being ‘outstanding.’ The target is 4 which is ‘above satisfactory.’	annual	Statisfaction scale of 1-5	Increase	Baseline	2007-10-01
			Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Last Updated
			2007	Starts in FY08	Starts in FY08		2010-09-15
			2008	4.0	4.3		2010-09-15
			2009	4.1	3.9		2010-09-15

Mission and Business Results	Operational Defense	Increase the total number of COP user accounts by 5,000 users per year.	2010	4.2			2010-09-15
			annual	Number of users	Increase	7,000	2006-06-06
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2006	30,000	18,400		2010-09-15
			2007	50,000	22,407		2010-09-15
			2008	35,000	34,413		2010-09-15
			2009	40,000	41,960		2010-09-15
			2010	45,000	20,924 (Q2 update)		2010-09-15
			2011	50,000			2010-09-15
			2012	55,000			2010-09-15
			2013	60,000			2010-09-15
			2014	65,000			2010-09-15
			2015	70,000			2010-09-15
			2016	75,000			2010-09-15

2017	80,000			2010-09-15
2018	85,000			2010-09-15
2019	90,000			2010-09-15
2020	95,000			2010-09-15

Customer Results	Customer Satisfaction	Increase user satisfaction by 0.1 per year based on feedback surveys taken on a yearly basis. The scale is from 1-5, 5 being 'outstanding.' The target is 4 which is 'above satisfactory.'	annual	Satisfaction scale of 1-5	Increase	Baseline	2010-10-01
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Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
2011	4			2010-09-15
2012	4.1			2010-09-15
2013	4.2			2010-09-15
2014	4.3			2010-09-15
2015	4.4			2010-09-15
2016	4.5			2010-09-15

2017	4.6			2010-09-15
2018	4.7			2010-09-15
2019	4.8			2010-09-15
2020	4.9			2010-09-15

* - Indicates data is redacted.